

Mail Label No. ED005048756US

PTO/SB/08a (08-03)

Approved for use through 07/31/2006. OMB 0651-0031
U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE
in a collection of information unless it displays a valid OMB control number.

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

<p style="text-align: center;"><i>6 TRADES</i> Substitute for form 1449A/PTO</p> <h2 style="text-align: center;">INFORMATION DISCLOSURE STATEMENT BY APPLICANT</h2> <p style="text-align: center;"><i>(Use as many sheets as necessary)</i></p>				Complete if Known	
Sheet	1	of	2	Application Number	10/609,018
				Filing Date	06/27/2003
				First Named Inventor	Blauvelt et al.
				Art Unit	2874
				Examiner Name	Ellen E Kim
				Attorney Docket Number	XPNT33NP

INFORMATION DISCLOSURE STATEMENT BY APPLICANT

(Use as many sheets as necessary)

Sheet

1

2

Complete if Known

U.S. PATENT DOCUMENTS

FOREIGN PATENT DOCUMENTS

**Examiner
Signature**

Ellen Kim

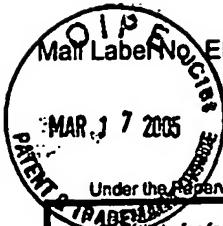
Date Considered

4/1/05

***EXAMINER:** Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. **'Applicant's unique citation designation number (optional).** **'See Kinds Codes of USPTO Patent Documents at** www.uspto.gov **or MPEP 901.04.** **'Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3).** **'For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document.** **'Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible.** **'Applicant is to place a check mark here if English language Translation is attached.**

This collection of information is required by 37 CFR 1.97 and 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

If you need assistance in completing the form, call 1-800-PTO-9199 and select option 2.



Mail Label No. ED005048756US

MAR. 17 2005

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

PTO/SB/08b (08-03)

Approved for use through 08/30/2008. OMB 0651-0031

Approved for use through 08/30/2006. OMB 0651-0031

INFORMATION DISCLOSURE STATEMENT BY APPLICANT

(Use as many sheets as necessary)

Sheet

2

of

Complete If Known	
Application Number	10/609,018
Filing Date	06/27/2003
First Named Inventor	Blauvelt et al.
Art Unit	2874
Examiner Name	Ellen E Kim
Attorney Docket Number	XPNT33NP

NON PATENT LITERATURE DOCUMENTS

Examiner Initials*	Cita No.	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T ²
EK		, International Search Report for counterpart PCT App. No. PCT/US2003/020330, 01/08/2004	
		HILLERINGMANN ET AL, Optoelectronic System Integration on Silicon:Waveguides, Photodetectors, and VLSI CMOS Circuits on One Chip, IEEE Transactions on Electron Devices, 05/1995, Page(s) 841-846, Volume 42, Number 5	
		HOFFMAN ET AL, Low-Loss Fiber-Matched Low-Temperature PECVD Waveguides with Small-Core Dimensions for Optical Communications Systems, IEEE Photonics Technology Letters, 09/1997, Page(s) 1238-1240, Volume 9, Number 9	
		HORST ET AL, Compact, Tunable Optical Devices in Silicon-Oxynitride Waveguide Technology, Proc. Topical Meeting on Integrated Photonics Research, IPR 2000, 1999, Published in: Quebec Canada	
		KIMERLING, Photons to the Rescue: Microelectronics Becomes Microphotronics, Interface, 06/2000, Page(s) 28-31, Volume Summer 2000, Publisher: The Electrochemical Society	
		LIU ET AL, Fused InP-GaAs Vertical Coupler Filters, IEEE Photonics Technology Letters, 01/1999, Page(s) 93-95, Volume 11, Number 1	
		LI ET AL, Silicon Optical Bench Waveguide Technology, Optical Fiber Telecommunications, 1997, Page(s) 319-376, Volume IIIB, Publisher: Academic Press, Published in: US	
		LI ET AL, Silica-based optical integrated circuits, IEE Proc.-Optoelectron., 10/1996, Page(s) 263-280, Volume 143, Number 5	
		OFFREIN ET AL, Resonant Coupler-Based Tunable Add-After-Drop Filter in Silicon-Oxynitride Technology for WDM Networks, IEEE Journal of Selected Topics in Quantum Electronics, 09/1999, Page(s) 1400-1406, Volume 5, Number 5	
		DE RIDDER ET AL, Silicon Oxynitride Planar Waveguiding Structure for Application in Optical Communication, IEEE Journal of Selected Topics in Quantum Electronics, 11/1998, Page(s) 930-937, Volume 4, Number 6	
EK		SHANI ET AL, Efficient coupling of a semiconductor laser to an optical fiber by means of a tapered waveguide on silicon, Applied Physics Letters, 12/04/1998, Page(s) 2389-2391, Volume 55, Number 23	

**Examiner
Signature**

Ellen Kim

**Date
Considered**

8/1/05

***EXAMINER:** Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

Applicant's unique citation designation number (optional). Applicant is to place a check mark here if English language Translation is attached.
This collection of information is required by 37 CFR 1.97 and 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

If you need assistance in completing the form, call 1-800-PTO-9199 and select option 2.